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TRANSMITTAL LETTER			Case No. 11795/4
Serial No. 10/630,294	Filing Date July 30, 2003	Examiner Not Yet Assigned	Group Art Unit Not Yet Assigned
Inventor(s) Jun Yoshitani, Donald O. Johnson and Michael L. Wilkey			
Title of Invention SONICATION ENHANCED DIGESTION PROCESS			

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith are Transmittal Letter (in duplicate); Information Disclosure Statement (in duplicate) PTO Form 1449; Seven (7) References; and postcard evidencing receipt of same.

- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ Applicant claims small entity status. See 37 CFR 1.27.
- ☐ Petition for a \_\_\_\_\_ month extension of time.
- ☒ No additional fee is required.
- ☐ The fee has been calculated as shown below:

	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra
Total		Minus		
Indep.		Minus		
First Presentation of Multiple Dep. Claim				

Small Entity		or	Other Than Small Entity	
Rate	Add'l Fee		Rate	Add'l Fee
x \$9 =			x \$18 =	
x 42 =			x \$84 =	
+ \$140 =			+ \$280 =	
Total add'l fee	\$		Total add'l fee	\$

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$\_\_\_\_\_. A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \$\_\_\_\_\_ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Heidi A. Dare  
Heidi A. Dare  
Registration No. 50,775  
Attorney for Applicant  
Customer No. 00757 - Brinks Hofer Gilson Lione

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, ILLINOIS 60610  
(312) 321-4200

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to:  
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on October 30, 2003.

Date: October 30, 2003

Signature: Heidi A. Dare



**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope, with sufficient postage, addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

October 30, 2003

Date of Deposit

Heidi A. Dare, Reg. No. 50,775

Name of Applicant, Assignee or  
Registered Representative

Signature

October 30, 2003

Date of Signature

Our Case No.: 11795/4

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Jun Yoshitani, Donald O. Johnson and  
Michael L. Wilkey

Serial No.: 10/630,294

Filing Date: July 30, 2003

For: SONICATION ENHANCED  
DIGESTION PROCESS

Examiner: Not Yet Assigned

Group Art Unit No.: Not Yet Assigned

**INFORMATION DISCLOSURE STATEMENT**

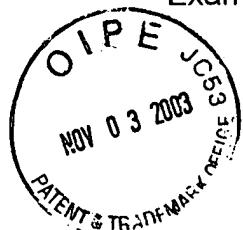
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Information Disclosure Statement be entered and the documents listed below and on the attached Form PTO-1449 be considered by the Examiner and

made of record. Copies of the listed "Foreign Patent Documents" and "Other Art Documents" required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

The references now cited are the following:



### **UNITED STATES PATENT DOCUMENTS**

<b>No.</b>	<b>Patent No.</b>	<b>Date</b>	<b>Name</b>
A1	4,076,617	February 28, 1978	D. Bybel et al.
A2	4,944,886	July 31, 1990	S.A. Masri
A3	5,118,427	June 2, 1992	D. Eichler
A4	5,380,445	January 10, 1995	C. J. Rivard, et al.
A5	6,039,867	March 21, 2000	K. Frei et al.
A6	US 6,540,922 B1	April 1, 2003	E. Cordemans et al.

### **FOREIGN PATENT DOCUMENTS**

<b>No.</b>	<b>Patent No.</b>	<b>Date</b>	<b>Country</b>
A7	DE 3 439 549	December 11, 1985	Germany
A8	DE 4 407 564	September 14, 1995	Germany
A9	EP 0 936 187	August 18, 1999	Europe
A10	EP 0 983 968	March 8, 2000	Europe

### **OTHER ART DOCUMENTS**

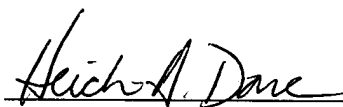
<b>No.</b>	
A11	Nickel, Klaus, "Ultrasonic Disintegration of Biosolids – Benefits, Consequences and New Strategies," <i>WAVES Water and Environmental Technologies</i> , TU Hamburg-Harburg Reports on Sanitary Engineering 35, 2002, pp. 189–199.
A12	Tiehm, Andreas, "Combination of Ultrasound and Biodegradation: Enhanced Bioavailability of Polycyclic Aromatic Hydrocarbons," <i>Technical University of Hamburg-Harburg, Department of Sanitary Engineering</i> , TU Hamburg-Harburg Reports on Sanitary Engineering 25, 1999, pp. 167–180.
A13	Neis, Uwe, "Intensification of Biological and Chemical Processes by Ultrasound," <i>Technical University of Hamburg-Harburg, Department of Sanitary and Environmental Engineering</i> , TU Hamburg-Harburg Reports on Sanitary Engineering 35, 2002, pp. 79–90.

In accordance with 37 C.F.R. § 1.97(g),(h), this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

This Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these material, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925. A duplicate copy of this document is enclosed.

Applicant(s) respectfully request that the listed documents be made of record in the present case.

Respectfully submitted,



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Heidi A. Dare  
Registration No. 50,775  
Attorney for Applicant(s)

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Chicago, IL 60610  
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FORM PTO-1449	SERIAL NO. 10/630,294	CASE NO. 11795/4
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>	FILING DATE July 30, 2003	GROUP ART UNIT Not Yet Assigned
(use several sheets if necessary)	APPLICANT(S): Jun Yoshitani, Donald O. Johnson, and Michael L Wilkey	

#### REFERENCE DESIGNATION

#### U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A1	4,076,617	02-28-1978	D. Bybel et al.	210/19	01-17-1977
	A2	4,944,886	07-31-1990	S.A. Masri	210/748	03-20-1989
	A3	5,118,427	06-02-1992	D. Eichler	210/748	02-11-1991
	A4	5,380,445	01-10-1995	C. J. Rivard, et al.	210/748	10-22-1993
	A5	6,039,867	03-21-2000	K. Frei et al.	210/173	04-19-1999
	A6	US 6,540,922 B1	04-01-2003	E. Cordemans et al.	210/695	PCT 07-04-1997

#### FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO
	A7	DE 3 439 549	12-11-1985	Germany	C02F3/06 C02F1/34 C02F3/30, C02F11/00	Yes
	A8	DE 4 407 564	09-14-1995	Germany	C02F1/72 C02F1/36 C02F11/06 C02F11/04 C02F11/12 C02F3/28 C07B33/00 C07B35/06 C07B63/00 C07C7/148 C12P5/02 A01N37/16 C07C409/26 B01J31/02 C12N13/00	
	A9	EP 0 936 187	08-18-1999	Europe	C02F1/36	Yes
	A10	EP 0 983 968	03-08-2000	Europe	C02F1/36 C02F11/12	Yes

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449	NOV 03 2003	SERIAL NO. 10/630,294	CASE NO. 11795/4
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		FILING DATE July 30, 2003	GROUP ART UNIT Not Yet Assigned
(use several sheets if necessary)		APPLICANT(S): Jun Yoshitani, Donald O. Johnson, and Michael L Wilkey	

EXAMINER INITIAL	OTHER ART - NON PATENT LITERATURE DOCUMENTS (Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.	
	A11	Nickel, Klaus, "Ultrasonic Disintegration of Biosolids - Benefits, Consequences and New Strategies," <i>WAVES Water and Environmental Technologies</i> , TU Hamburg-Harburg Reports on Sanitary Engineering 35, 2002, pp. 189-199.
	A12	Tiehm, Andreas, "Combination of Ultrasound and Biodegradation: Enhanced Bioavailability of Polycyclic Aromatic Hydrocarbons," <i>Technical University of Hamburg-Harburg, Department of Sanitary Engineering</i> , TU Hamburg-Harburg Reports on Sanitary Engineering 25, 1999, pp. 167-180.
	A13	Neis, Uwe, "Intensification of Biological and Chemical Processes by Ultrasound," <i>Technical University of Hamburg-Harburg, Department of Sanitary and Environmental Engineering</i> , TU Hamburg-Harburg Reports on Sanitary Engineering 35, 2002, pp. 79-90.

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